



Department of Energy
Oak Ridge Operations
Office of Environmental Management
Procedure

PREPARATION AND MANAGEMENT OF POLICIES AND PROCEDURES

EM-2.4
Revision 0

Prepared:

Steven W. Oldham
Procedure Preparer

Date

10/17/03

Approved:

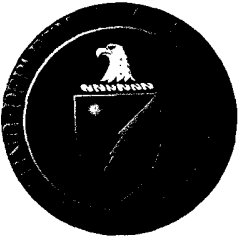
J. H. Coker
Assistant Manager for Environmental Management

Date

10/17/03



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ACRONYMS

AMEM	Assistant Manager for Environmental Management
DOE	U.S. Department of Energy
EM	Office of Environmental Management
ISMS	Integrated Safety Management System
ORO	Oak Ridge Operations
PC	Procedures Coordinator
QA	Quality Assurance

1.0 PURPOSE

This procedure establishes the responsibilities, requirements, and instructions for the uniform preparation and management of policies and procedures for the U.S. Department of Energy, Oak Ridge Operations, Office of Environmental Management.

2.0 SCOPE

This procedure applies to the preparation and management of all U.S. Department of Energy (DOE), Oak Ridge Operations (ORO), Office of Environmental Management (EM) policies and procedures.

3.0 REFERENCES AND DEFINITIONS

3.1 References

- 3.1.1 DOE, 1996, DOE Policy DOE P 450.4, Safety Management System Policy, Washington, D.C.
- 3.1.2 DOE, 2001, DOE Order DOE O 414.1A, Chg. 1, *Quality Assurance*, Washington, D.C.
- 3.1.3 DOE, 1998, DOE Standard DOE-STD-1029-92 (CH-1), "Writer's Guide for Technical Procedures," Washington, D.C.
- 3.1.4 DOE, 2002, EM *Integrated Safety Management Policy*, Oak Ridge, TN
- 3.1.5 DOE, 2002, ORO Order ORO O 410, Chapter V, *Process for Technical Dispute Resolution*, Oak Ridge, TN

3.2 Definitions

- 3.2.1 Policy: A document that provides guidance regarding a particular goal or goals which may potentially affect all EM personnel.
- 3.2.2 Procedure: A document that potentially affects all EM personnel that sets out a series of step-wise actions used to accomplish a need.
- 3.2.3 Preparation: The actions/efforts required to create a new or revise an existing policy or procedure.

4.0 RESPONSIBILITIES

4.1 Assistant Manager for Environmental Management

The AMEM is responsible for:

- 4.1.1 approving all policies and procedures that may be applicable to EM-ORO.

4.2 Management and Staff

EM Management and Staff are responsible for:

- 4.2.1 identifying the potential need for creation/revision of policies and procedures and submitting for consideration.

- 4.2.2 if assigned, serving as a policy or procedure Preparer.
- 4.2.3 if assigned, assisting Preparers in their efforts to create/revise these documents; and
- 4.2.4 when requested, reviewing and commenting on documents being created/revised.

4.3 Policy or Procedure Preparer

The Preparer is the individual given the responsibility for preparation and management of a policy or procedure should:

- 4.3.1 create/revise an assigned document with all due diligence, including ensuring that it fully complies with DOE, ORO, and EM Directives, i.e., Laws, Regulations, Policies, Orders, Procedures, etc.;
- 4.3.2 perform an assessment and revision of assigned documents at least every three years or when substantive changes make it necessary; and
- 4.3.3 provide training and support, as necessary, to ensure that assigned policies and procedures are being implemented properly.

4.4 Procedures Coordinator

The Procedures Coordinator (PC) shall:

- 4.4.1 ensure that this procedure is used by Preparers;
- 4.4.2 assist Preparers and staff when questions on preparation and/or management of policies and procedures arise;
- 4.4.3 ensure that staff are informed whenever a policy or procedure is approved, revised, or cancelled;
- 4.4.4 ensure that the EM Policies and Procedures Webpage, see url, http://www.oakridge.doe.gov/em/EMprocedures/index_EMSOPs2.htm, reflect the approved and current set of policies and procedures;
- 4.4.5 request that Preparers review the EM Policies and Procedures Webpage quarterly; and
- 4.4.6 maintain an up to date Policies and Procedures Status Table. This table should include policy and procedure titles, numbers (including revision numbers), Preparers' names, and effective dates. It should also include information about the status of policies and procedures being created or revised.

5.0 PROCEDURE

This procedure sets out the process necessary to be followed by EM Preparers and staff in order to prepare and manage policies and procedures.

5.1 Preparation

5.1.1 Policies and procedures should be formatted uniformly as shown below.

SIGNATURE PAGE

(Format as shown in Attachment 1)

TABLE OF CONTENTS

A full page should be dedicated to this (or more depending on size of document).

ACRONYM LIST

A full page should be dedicated to this (or more depending on size of document).

1.0 PURPOSE

Describe the objective of the policy or procedure (example: "This procedure describes the method for _____").

2.0 SCOPE

Identify the specific application of the policy or procedure and the EM activities to which it applies. Include any restrictions on the policy or procedure (example: "This procedure applies to all EM staff and EM management personnel – except for _____." Then give the circumstances).

3.0 REFERENCES AND DEFINITIONS

3.1 References

3.1.1 List those documents used in the preparation of the policy or procedure. The following information should be included:

3.1.1.1 Author (organization or person)

3.1.1.2 Date published

3.1.1.3 Complete document title (If the complete reference document applies to the policy or procedure, its title should be italicized. Where only parts of a document apply, it should be placed in quotation marks.

3.1.1.4 Publisher

3.1.1.5 Location published (city, state)

3.2 Definitions

Define here only terms that are seldom used or are unique to the policy or procedure and would not be readily understood.

4.0 RESPONSIBILITIES

Identify the individual(s) or organization(s) that have the major responsibilities for implementation of the policy or procedure. Restrict this to personnel who have direct involvement in the subject activity (descriptive titles rather than specific names should be used, e.g., Team Leader, Director, etc.).

5.0 PROCEDURE

Provide the particular process/methodology needed to implement the requirements being described, including reference in the text to any attachments.

6.0 RECORDS

List all records that should be generated as a result of the policy or procedure. Include a statement similar to that found in Section 6.0 of this Procedure.

7.0 ATTACHMENTS

List all exhibits, illustrations, forms, attachments, etc., referred to in the policy's or procedure's text.

Note: All first tier section numbers and titles should be bolded and capitalized, e.g., "**1.0 PURPOSE.**" All second tier section numbers and titles should be bolded, but not capitalized, e.g., "**3.1 References.**" No bolding is required for third tier section numbers and titles or below. The signature page format for policies and procedures is found at Attachment 1. Headers are necessary throughout the document and the format in this procedure should be used as a guide.

5.2 Policies and Procedures Management

5.2.1 Preparation Schedules: Standard disposition of policies and procedures should be

handled as follows:

- 5.2.1.1 after the need for creation/revision of a policy or procedure has been established, a draft shall be prepared;
- 5.2.1.2 the draft shall be submitted by the Preparer to appropriate personnel requesting a review and comment by an established date (distribution shall include all Division Directors and above);
- 5.2.1.3 after comments are received, the Preparer shall attempt resolution for up to *twenty* working days;
Note: At this point, if the Preparer feels it may clarify/verify resolution, a D2 draft should be issued. Its transmittal memorandum should specify *ten* working days for receipt of comments from the date of issue. After comments are received, resolution should be attempted for *five* working days. If differing professional opinions persist, the Preparer and reviewers shall raise this issue to higher levels of Management until resolution is achieved;
- 5.2.1.4 upon resolution, a "signature" version of the document shall be prepared and signed. A *color* copy of the signature page and any other pages where color is used should be used at this stage.
- 5.2.1.5 once approved the PC shall advise all EM staff via e-mail and
- 5.2.1.6 the document will be placed onto the EM Policies and Procedures Webpage, see http://www.oakridge.doe.gov/em/EMprocedures/index_EMSOPs2.htm;

5.2.2 Document Access/Use: Current policies and procedures will be available "on-line" via the ORO-EM Policies and Procedures Webpage (see http://www.oakridge.doe.gov/em/EMprocedures/index_EMSOPs2.htm).

5.2.3 Periodic Document Review: At a minimum, an assessment should be conducted by the Preparer every three years as to the need for a major revision. If a substantive change(s) is needed, the review and approval process above should be used. The document will be issued at the next highest revision level. If any minor changes are made to the document, it should be forwarded to the PC and be placed onto the Webpage. No approval is required; however, the document will be issued at the next highest revision level.

5.2.4 Document Cancellation: If a policy or procedure is canceled, the PC will be notified and the PC will issue an email informing all EM staff, and remove it from the file and Webpage.

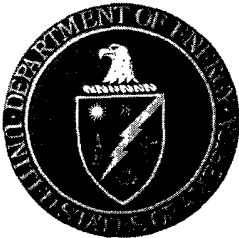
6.0 RECORDS

Policies and Procedures are considered QA documents/records. Current policies and procedures as well as supporting documentation shall be maintained in accordance with the prevailing QA program.

7.0 ATTACHMENTS

7.1 Attachment 1 Signature Page Format

ATTACHMENT 1 Approval Page Format



Department of Energy
Oak Ridge Operations
Office of Environmental Management
Policies and Procedures*



TITLE OF DOCUMENT**

EM-X.X
Revision X***

Prepared:

Procedure Preparer

Date

Approved:

Assistant Manager for Environmental Management

Date

* This should be changed according to document type, i.e., "Policy," or "Procedure". A header should not be used on the signature page, but should be used for all subsequent pages as shown by the format used in this procedure. The signature page itself may be obtained from the EM computer server's n: drive, see N:\AMEM\FORMAT-PROCEDURAL DOCUMENTS\SIGNATURE PAGE FORMAT.

** Titles should be capitalized.

*** Policy and Procedure numbers will be assigned by the Procedures Coordinator. All Policies and Procedures are required to have revision numbers. Substantive changes require approval by the AMEM.
